

## NATIONAL SECURITY ASSESSMENT: Defense Supply Chain Network



### SCOPE OF ASSESSMENT

The U.S. Department of Commerce, Bureau of Industry and Security (BIS), Office of Technology Evaluation, in coordination with the U.S. Department of Defense (DoD), Office of Manufacturing and Industrial Base Policy, is conducting an industrial base survey of DoD's supply chain. The principal goal of this effort is to produce a sector-by-sector, tier-by-tier (S2T2) evaluation of the defense industrial base with a specific focus on the aircraft, ground systems, missiles, missile defense, services and shipbuilding sectors for 30 defense systems. The results will provide DoD with a comprehensive assessment of the defense supply chain as a benchmark to plan for future technological, market, and budget challenges that could impact U.S. military capabilities and readiness.

### RESPONSE TO THIS SURVEY IS REQUIRED BY LAW

A response to this survey is required by law (50 U.S.C. app. Sec. 2155). Failure to respond can result in a maximum fine of \$10,000, imprisonment of up to one year, or both. Information furnished herewith is deemed confidential and will not be published or disclosed except in accordance with Section 705 of the Defense Production Act of 1950, as amended (50 U.S.C App. Sec. 2155). Section 705 prohibits the publication or disclosure of this information unless the President determines that its withholding is contrary to the national defense. Information will not be shared with any non-government entity, other than in aggregate form. The information will be protected pursuant to the appropriate exemptions from disclosure under the Freedom of Information Act (FOIA), should it be the subject of a FOIA request.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number.

### BURDEN ESTIMATE AND REQUEST FOR COMMENT

Public reporting burden for this collection of information is estimated to average 14 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information to BIS Information Collection Officer, Room 6883, Bureau of Industry and Security, U.S. Department of Commerce, Washington, D.C. 20230, and to the Office of Management and Budget, Paperwork Reduction Project (OMB Control No. 0694-0119), Washington, D.C. 20503.

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<b>Section I GENERAL INSTRUCTIONS</b>												
A.	Your company is required to complete this survey using an Excel template, which can be downloaded from the U.S. Department of Commerce, Bureau of Industry and Security (BIS) website. At your request, survey compliance staff will e-mail the Excel survey template directly to your company. For your convenience, a PDF version of the survey is available on the BIS website to aid internal data collection. <b>DO NOT</b> submit the PDF version of your company's response to BIS.											
B.	<p>Respond to every question. Surveys that are not fully completed will be returned for completion. Use comment boxes to provide any information to supplement responses provided in the survey form. Make sure to record a complete answer in the cell provided, even if the cell does not appear to expand to fit all the information.</p> <p><b>DO NOT COPY AND PASTE RESPONSES WITHIN THIS SURVEY.</b> Survey inputs should be made manually, by typing in responses or by use of a drop-down menu. The use of copy and paste can disrupt the data collection process. If your survey response is corrupted as a result of copy and paste responses, a new survey will be sent to you for immediate completion.</p>											
C.	If information is not available from your facility/plant's records in the form requested, you may furnish estimates. For 2011 data, estimate full year data.											
D.	<p>For specific questions or assistance with the Excel survey, e-mail: <b>S2T2Survey@bis.doc.gov</b>  E-mail is the preferred method of contact and will allow for a detailed U.S. Government e-mail response for your company records. If you must phone, first contact Jessica Bowen at (703) 602-4290. For any other queries, contact:</p> <table border="0"> <tr> <td>Joseph Battle, Survey Compliance Specialist, (703) 602-4335</td> <td>Gianna Figueiredo, Survey Compliance Specialist, (703) 602-4324</td> </tr> <tr> <td>Tierra Byrd, Survey Compliance Specialist, (703) 607-4066</td> <td>Nate Ohs, Survey Compliance Specialist, (703) 602-4288</td> </tr> <tr> <td>Debra Cook, Survey Compliance Specialist, (703) 602-4323</td> <td>Mervat Qawasmi, Survey Compliance Specialist, (703) 602-4306</td> </tr> <tr> <td>Sandra Dennis, Survey Compliance Specialist, (703) 602-4296</td> <td>Tiffany Reddick, Survey Compliance Specialist, (703) 607-4029</td> </tr> <tr> <td>Charita Elmore, Survey Compliance Specialist, (703) 607-4047</td> <td>Sandra West, Survey Compliance Specialist, (703) 602-4293</td> </tr> </table>		Joseph Battle, Survey Compliance Specialist, (703) 602-4335	Gianna Figueiredo, Survey Compliance Specialist, (703) 602-4324	Tierra Byrd, Survey Compliance Specialist, (703) 607-4066	Nate Ohs, Survey Compliance Specialist, (703) 602-4288	Debra Cook, Survey Compliance Specialist, (703) 602-4323	Mervat Qawasmi, Survey Compliance Specialist, (703) 602-4306	Sandra Dennis, Survey Compliance Specialist, (703) 602-4296	Tiffany Reddick, Survey Compliance Specialist, (703) 607-4029	Charita Elmore, Survey Compliance Specialist, (703) 607-4047	Sandra West, Survey Compliance Specialist, (703) 602-4293
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E.	In a number of questions you will be asked to specify facility/plant, business unit/division, or corporate/whole company levels of data. <b>Facility/plant level data is expected, whenever possible.</b>											
F.	Upon completion, review and certification of the Excel survey, transmit the survey via e-mail attachment to <b>S2T2Survey@bis.doc.gov</b> .											
G.	<p>For questions related to the overall scope of this Defense Supply Chain Network assessment, contact:</p> <p>Brad Botwin, Director, Industrial Studies  Office of Technology Evaluation, Room 1093  U.S. Department of Commerce  1401 Constitution Avenue, NW  Washington, DC 20230  brad.botwin@bis.doc.gov</p> <p>DO NOT submit completed surveys to Brad Botwin's postal or personal e-mail address; all surveys must be submitted electronically to <b>S2T2Survey@bis.doc.gov</b>.</p>											
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Section II		
DEFINITIONS		
Term	Definition	
Authorizing Official	Executive officer of the company or business unit or other individual who has the authority to execute this survey on behalf of the firm.	
Backlog	Unfinished work or work for which you already have a contract in your facility's order book.	
Commercial and Government Entity (CAGE) Code	Commercial and Government Entity (CAGE) Code identifies companies doing or wishing to do business with the U.S. Federal Government. The code is used to support mechanized government systems and provides a standardized method of identifying a given facility at a specific location. Find CAGE codes at <a href="http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx">http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx</a>	
Core Competency	A specific factor that is central to the way a facility operates. Without this factor, the facility would struggle to hold its competitive position in the market.	
Cost Premium	For the purposes of the survey, the percentage value above or below the base cost of the part/component.	
Critical Skills	Specific workforce attributes and training that enable a facility to produce its core product or offer its core service.	
Customer	An entity to which a facility directly delivers the product or service that the facility produces. A customer may be another company or another facility owned by the same parent company. The customer may be the end user for the item but often will be an intermediate link in the supply chain, adding additional value before transferring the item to yet another customer.	
Data Universal Numbering System (DUNS)	A nine-digit numbering system that uniquely identifies an individual businesses. Find DUNS numbers at <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> .	
Facility/Plant	A building or the minimum complex of buildings or parts of buildings in which a company operates to serve a particular function, producing revenue and incurring costs for the company. A facility may produce an item of tangible or intangible property or may perform a service. It may encompass a floor or group of floors within a building, a single building, or a group of buildings or structures. Often, a facility is a grouping of related locations at which company employees work, together constituting a profit-and-loss center for the company, and it may be identified by a unique DUNS number.	
Full Time Equivalent (FTE) Employees	Employees who work for 40 hours in a normal work week. Convert part-time employees into "full-time equivalents" by taking their work hours as a fraction of 40 hours.	
IR&D	Independent research and development means the cost of effort which is neither sponsored by a grant, nor required in the performance of a contract, and which falls within any of the following three areas: (i) Basic and applied research; (ii) Development, and (iii) Systems and other concept formulation studies.	
North American Industry Classification System (NAICS) Code	North American Industry Classification System (NAICS) codes identify the category of product(s) or service(s) provided by your company. Find NAICS codes at <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a>	
Product or Service Code (PSC)	Product or Service Code used to report government procurement transactions. To find a PSC, visit <a href="http://www.fpdsg.com/downloads/service_product_codes.pdf">http://www.fpdsg.com/downloads/service_product_codes.pdf</a>	
Rare Earth Element	Rare Earth Element is a category that includes numbers 57-71 of the periodic table (lanthanum, cerium, praseodymium, neodymium, promethium, samarium, europium, gadolinium, terbium, dysprosium, holmium, erbium, thulium, and ytterbium) as well as yttrium (39) and scandium (21).	
Service	An intangible product (contrasted to a good, which is a tangible product). Services typically cannot be stored or transported, are instantly perishable, and come into existence at the time they are bought and consumed.	
Single Source	A company or facility that is designated as the only accepted source for the supply of parts, components, materials, or services, even though other sources with equivalent technical know-how and production capability may exist.	
Sole Source	A company or facility that is the only source for the supply of parts, components, materials, or services. No alternative domestic or foreign suppliers exist other than the current supplier.	
Supplier	An entity from which your facility obtains inputs. A supplier may be another firm with which you have a contractual relationship, or it may be another facility owned by the same parent company. The inputs may be goods or services.	
United States	The "United States" or "U.S." includes the 50 states, Puerto Rico, the District of Columbia, the island of Guam, the Trust Territories, and the U.S. Virgin Islands.	
Utilization Rate	The fraction of a facility's potential output that is actually being used in current production, where potential output is based on a 7 day-a-week, 3x8-hour shift production schedule.	
Vertical Integration	The process in which several steps in the production and/or distribution of a product or service are controlled by a single company or entity, in order to increase that company's or entity's power in the marketplace. A car company that expands into tire manufacturing would be an example of vertical integration. A company such as this is often referred to as vertically integrated.	
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<b>Section III WHO MUST RESPOND TO THIS SURVEY</b>		
Please select "Yes" or "No" from the drop-down options to the statement below.		
A.	<p>My company has manufactured products and/or provided services, <b>directly or indirectly</b>, for Department of Defense programs since January 2005 (including Air Force, Army, Navy, Marine Corps, Intelligence Community, Defense Logistics Agency, and/or other defense agency programs).</p> <p>For the purposes of this survey, products and/or provided services include assembly, integration, R&amp;D, distribution, software, repair and overhaul, and testing/validation.</p>	
<b>EXEMPTION FROM SURVEY</b>		
If you selected "No" to the statement above, your facility may be exempt from completing this U.S. Department of Commerce survey. If you think your facility is exempt, complete Questions B and C, and e-mail S2T2Survey@bis.doc.gov to verify your status.		
B.	Briefly describe the products and/or services provided by your company:	
C.	Before 2005, did your company do any work for the Department of Defense? If "Yes", explain below.	
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<b>Section 1.a COMPANY INFORMATION</b>					
A.	Corporate/Company Name				
	Business Unit/Division Name <i>(if applicable)</i>				
	Facility/Plant Name <i>(if applicable)</i>				
	Respondent Street Address				
	Respondent City				
	Respondent State				
	Respondent Zip Code				
	Respondent Website				
	Respondent Phone Number				
B.	Point(s) of Contact regarding this survey:				
	Name	Title	Phone Number	E-mail Address	State
C.	My company is headquartered in:	City	State	Country	
	Parent Company Name, if applicable	City	State	Country	
	My company is Publicly traded/Private held:				
	My parent company is Publicly traded/Private held:				
Comments					
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<b>Section 1.b COMPANY INFORMATION (cont.)</b>																																		
Please provide the following identification codes ( <i>see definitions</i> ), as applicable, to your facility/plant. Each category must contain at least one code.																																		
<p>*Find your facility/plant's Data Universal Numbering System (DUNS) number(s) at <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a></p> <p>**Find your facility/plant's Commercial and Government Entity (CAGE) Codes at <a href="http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx">http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx</a></p> <p>***Find your facility/plant's North American Industry Classification System (NAICS) codes at <a href="http://www.census.gov/epcd/www/naics.html">http://www.census.gov/epcd/www/naics.html</a></p> <p>****Find your facility/plant's Product and Service (PSC) Codes at <a href="http://www.fpsng.com/downloads/service_product_codes.pdf">http://www.fpsng.com/downloads/service_product_codes.pdf</a></p>																																		
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Data Universal Numbering System (DUNS) Number(s)*		Commercial and Government Entity (CAGE) Code(s)**		NAICS (6-digit) Code(s)***		Product & Service Code(s) (PSC)****																												
Select your facility/plant's primary business lines from the drop-down menu below. Provide a short description of the corresponding business lines next to each selected category. If your facility/plant has more than one dominant focus, rank them 1 through 3 by net sales, 1 being the highest.																																		
B	Business Line	Description of Business Line																																
1.																																		
2.																																		
3.																																		
Identify the main issues and challenges affecting the long-term viability of your facility/plant's product line(s) or service(s). Select a response for each issue/challenge.																																		
C.	Buy America Waivers	Labor Costs																																
	Difficulty Obtaining Key Inputs (Materials, Services, etc.)	Proximity to Customer																																
	Domestic Competition	Proximity to Supplier																																
	Environmental Regulations/Remediation	Qualifications/Certifications																																
	Export Controls	R&D Costs																																
	Foreign Competition	Skills Retention																																
	Foreign Subsidies/Import Restrictions	Taxes																																
	Government Budget Volatility	Variability of Demand																																
	Government Regulatory Burden	Other (specify)																																
	Healthcare	Other (specify)																																
Describe the actions your company has taken/will take in the next five years to increase your facility/plant's competitiveness.																																		
D.																																		
Identify what policy changes or regulatory reforms you recommend the U.S. Government implement to enhance your competitiveness.																																		
E.																																		
Comments																																		
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Section 2.a		PRODUCT & SERVICE LINES								
Identify the <b>principal</b> products and/or services that your facility/plant <b>CURRENTLY</b> manufactures/performs. Then, using the drop-downs, indicate whether the customer for this product/service is defense, non-defense government, and/or commercial. If applicable, estimate the duration of backlog/order book at current production rates. Finally, identify the primary competitor's name and location for each principal product/service identified.										
	Principal Product/Service	Defense	Non-Defense Government	Commercial	Duration of Backlog/Order Book	Primary Competitor Name	City	State	Country	
A.	1.									
	2.									
	3.									
	4.									
	5.									
	6.									
	7.									
	8.									
	9.									
	10.									
	11.									
	12.									
	13.									
	14.									
	15.									
	16.									
	17.									
	18.									
	19.									
	20.									
	21.									
	22.									
	23.									
	24.									
	25.									
B.	Does any part of your production process for defense customers have a significant degree of integration with your non-defense government and/or commercial business? Explain below.									
C.	Has your portfolio of defense-related products and/or services changed significantly in the past five years? Explain below.									
Comments:										
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<b>Section 2.b</b>		<b>PRODUCT &amp; SERVICE LINES</b>					
List the new products/services that your facility/plant intends to offer in the <b>NEXT FIVE YEARS</b> and indicate whether the primary target customer will be defense, non-defense government, and/or commercial customers.							
A.		<b>Product/Service</b>	<b>Defense</b>	<b>Non-Defense Government</b>	<b>Commercial</b>		
	1.						
	2.						
	3.						
	4.						
	5.						
List the products/services that your facility/plant has ceased to provide over the <b>PAST FIVE YEARS</b> . Indicate whether the customer was defense, non-defense government, and/or commercial, and the primary reason for ceasing production. Then, indicate whether your facility/plant is able to readily reconstitute this capability.							
B.		<b>Product/Service</b>	<b>Defense</b>	<b>Non-Defense Government</b>	<b>Commercial</b>	<b>Reason for Cease in Production</b>	<b>Ability to Readily Reconstitute?</b>
	1.						
	2.						
	3.						
	4.						
	5.						
Comments:							
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<b>Section 3 SALES INFORMATION</b>										
Provide your facility/plant's U.S. and Non-U.S. annual sales information for 2008-2010, with an estimate for 2011. Then, indicate whether your 2012-2016 sales will "increase", "decrease", or "remain the same", from the drop-down menu provided.										
<b>DO NOT COPY &amp; PASTE YOUR INPUTS</b>										
<i>Note: Calendar year and Facility/Plant-level data is preferred.</i>										
<i>Note: [B. through D. Totals must equal 100%]</i>										
Source of Sales Data:										
Reporting Schedule:										
Annual Sales	2008		2009		2010		2011*		2012-2016*	
	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.
A. Total Sales, all Customers <i>[record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12]</i>										
B. Total Defense Sales <i>[as a % of part A]</i>										
C. Total Non-Defense Government Sales <i>[as a % of part A]</i>										
D. Total Commercial & All Other Sales <i>[as a % of part A]</i>										
* If data is not available, provide estimates.										
**"U.S." means U.S. domestic sales; "Non-U.S." means export sales from U.S. located facilities										
Comments:										
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Section 4		OPERATIONS			
A.	Estimate the capacity utilization rate ( <i>see definitions</i> ) percentage for your facility/plant from 2008-2011.	2008			
		2009			
		2010			
		2011			
		Not Applicable			
B.	For your facility/plant, do your costs fluctuate in response to decreases/increases in customer orders? If "Yes", estimate the percent change in unit cost for the following changes in customer orders.				
	<b>Customer Order Change %</b>	<b>Cost Change %</b>	<b>Explain</b>		
	decrease 75%				
	decrease 50%				
	decrease 25%				
	decrease 10%				
	increase 10%				
	increase 25%				
	increase 50%				
	increase 75%				
increase 100%					
C.	Estimate the minimum level of capacity utilization necessary to keep your production costs from changing disproportionately to order volume. Explain below.				
D.	Does your facility/plant use Rare Earth Elements or products that contain Rare Earth Elements in its production process or as a component of final products? If "Yes", select the elements used below.				
	Neodymium		Gadolinium		
	Dysprosium		Samarium		
	Yttrium		Praseodymium		
	Europium		Neodymium-Iron-Boron Magnets		
	Terbium		Samarium-Cobalt Magnets		
	Rare Earth Phosphors		Rare Earth Polishing Agent		
	Other Rare Earth Oxide or Chemical (specify)		Other Rare Earth Metal or Alloy (specify)		
Comments:					
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[Previous Page](#)[Table of Contents](#)[Next Page](#)**Section 5****PROGRAM PARTICIPATION**

Identify the **principal** Department of Defense programs (including Air Force, Army, Navy, Marine Corps, Intelligence Community, Defense Logistics Agency, and/or other defense agency programs) your facility/plant has served in any production or service capacity **since 2008**. For each program/system name and product/service specified, identify whether your facility/plant is **currently** supporting that system.

*Note: If you do not know which defense programs your facility/plant has served, indicate in the box to the right, and proceed to Section 6.*

[For a list of program/system names, click HERE](#)

Defense Program/System Name (short name)		Products/Service Supplied Since 2008	Currently Supporting?
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			

A.

B. Overall, how many defense programs does your facility/plant **currently** work on?

Comments:

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<b>Section 6 CUSTOMERS</b>																																																																																	
<p>Do you sell your products or services off the shelf, customized for your customers, or both? If "Yes" or "Both", estimate the percent of your company's products or services that are customized or purchased off the shelf, based on current (2010-present) net sales.</p> <p><i>Note: If "Not Applicable", indicate in the box to the right, and proceed to Question C.</i>  <i>[Percentages should total 100%]</i></p>																																																																																	
A.	<table border="1"> <thead> <tr> <th>Type of Sale</th> <th>% of Current Sales</th> <th>Explanation</th> </tr> </thead> <tbody> <tr> <td>Off the Shelf</td> <td></td> <td></td> </tr> <tr> <td>Customized</td> <td></td> <td></td> </tr> </tbody> </table>	Type of Sale	% of Current Sales	Explanation	Off the Shelf			Customized																																																																									
	Type of Sale	% of Current Sales	Explanation																																																																														
	Off the Shelf																																																																																
Customized																																																																																	
<p>B. Do you provide more customization for defense customers or non-defense government/commercial customers?</p>																																																																																	
<p>Since 2008, who are your most important direct customers (including internal/same company)? Provide the customer name, designate the primary focus of the business relationship and the reason for importance. Then, select the approximate range of aggregate revenue from 2008-2011 for each customer. Finally, identify whether you compete with this customer at any level of your operations.</p>																																																																																	
C.	<table border="1"> <thead> <tr> <th>Customer Name</th> <th>Primary Focus</th> <th>Reason For Importance</th> <th>2008-2011 Revenue</th> <th>Competitor?</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td><td></td><td></td><td></td></tr> <tr><td>2.</td><td></td><td></td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td><td></td><td></td></tr> <tr><td>6.</td><td></td><td></td><td></td><td></td></tr> <tr><td>7.</td><td></td><td></td><td></td><td></td></tr> <tr><td>8.</td><td></td><td></td><td></td><td></td></tr> <tr><td>9.</td><td></td><td></td><td></td><td></td></tr> <tr><td>10.</td><td></td><td></td><td></td><td></td></tr> <tr><td>11.</td><td></td><td></td><td></td><td></td></tr> <tr><td>12.</td><td></td><td></td><td></td><td></td></tr> <tr><td>13.</td><td></td><td></td><td></td><td></td></tr> <tr><td>14.</td><td></td><td></td><td></td><td></td></tr> <tr><td>15.</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>	Customer Name	Primary Focus	Reason For Importance	2008-2011 Revenue	Competitor?	1.					2.					3.					4.					5.					6.					7.					8.					9.					10.					11.					12.					13.					14.					15.				
	Customer Name	Primary Focus	Reason For Importance	2008-2011 Revenue	Competitor?																																																																												
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<p align="center"><b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b></p>																																																																																	

[Previous Page](#)[Table of Contents](#)[Next Page](#)**Section 7.a****SUBCONTRACTOR RELATIONSHIPS**

A.	Estimate the percent of your facility/plant's current (2010-present) defense-related contract revenue that is subcontracted to external providers, (including internal/same company business units/divisions).							
B.	Do you have contracts that provide suppliers with incentive payments for on-time delivery or other quality characteristics?							
<b>U.S. Suppliers</b>								
Identify your facility/plant's most important <b>U.S. suppliers/subcontractors</b> that assist you in <b>directly</b> supporting DoD programs. For each supplier name, indicate the product/service supplied, location of the supplier, reason that supplier is important, and whether the supplier supports non-DoD customers. Finally, identify whether that supplier/subcontractor is a competitor at any level of your operations.								
<i>Note: Include internal/same company suppliers.</i>								
	<b>U.S. Supplier/Subcontractor Name</b>	<b>Product/Service</b>	<b>City</b>	<b>State</b>	<b>Reason for Importance</b>	<b>Supports Non-DoD Customers?</b>	<b>Competitor?</b>	
C.	1.							
	2.							
	3.							
	4.							
	5.							
	6.							
	7.							
	8.							
	9.							
	10.							
	11.							
	12.							
	13.							
	14.							
	15.							
	16.							
	17.							
	18.							
	19.							
	20.							
<b>Non-U.S. Suppliers</b>								
Identify your facility/plant's most important <b>Non-U.S. suppliers/subcontractors</b> that assist you in <b>directly</b> supporting DoD programs. For each supplier name, indicate the product/service supplied, location of the supplier, reason that supplier is important, and whether the supplier supports non-DoD customers. Finally, identify whether that supplier/subcontractor is a competitor at any level of your operation.								
<i>Note: Include internal/same company suppliers.</i>								
	<b>Non-U.S. Supplier/Subcontractor Name</b>	<b>Product/Service</b>	<b>City</b>	<b>Country</b>	<b>Reason for Importance</b>	<b>Supports Non-DoD Customers?</b>	<b>Competitor?</b>	
D.	1.							
	2.							
	3.							
	4.							
	5.							
	6.							
	7.							
	8.							
	9.							
	10.							
Comments:								
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Section 7.b		SUBCONTRACTOR RELATIONSHIPS (cont.)					
<p>For each <b>U.S. supplier</b> and product/service listed in Section 7.a, indicate whether a price fluctuation, a delay of the product/service or both would substantially disrupt your facility/plant's operations. Indicate whether the supplier is single or sole source (<i>see definitions</i>). Then, for each product/service, indicate whether your facility/plant maintains an inventory reserve; and if the product/service were no longer available, whether your facility would be able to readily produce the product/service in-house.</p>							
		U.S. Supplier Name	Product/Service	Disruption in Operations	Single or Sole Source?	Maintain Inventory Reserve?	Produce In-House?
A.	1.	0	0				
	2.	0	0				
	3.	0	0				
	4.	0	0				
	5.	0	0				
	6.	0	0				
	7.	0	0				
	8.	0	0				
	9.	0	0				
	10.	0	0				
	11.	0	0				
	12.	0	0				
	13.	0	0				
	14.	0	0				
	15.	0	0				
	16.	0	0				
	17.	0	0				
	18.	0	0				
	19.	0	0				
	20.	0	0				
<p>For each <b>Non-U.S. supplier</b> and product/service listed in Section 7.a, indicate whether a price fluctuation, a delay of the product/service or both would substantially disrupt your facility/plant's operations. Indicate whether the supplier is single or sole source (<i>see definitions</i>). Then, for each product/service, indicate whether your facility/plant maintains an inventory reserve; and if the product/service were no longer available, whether your facility would be able to readily produce the product/service in-house.</p>							
		Non-U.S. Supplier Name	Product/Service	Disruption in Operations	Single or Sole Source?	Maintain Inventory Reserve?	Produce In-House?
B.	1.	0	0				
	2.	0	0				
	3.	0	0				
	4.	0	0				
	5.	0	0				
	6.	0	0				
	7.	0	0				
	8.	0	0				
	9.	0	0				
	10.	0	0				
Comments:							
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Section 7.c SUBCONTRACTOR RELATIONSHIPS (cont.)																															
<p>If your defense orders were to substantially <b>decrease</b>, which of your direct suppliers and/or subtier suppliers (companies that supply your subcontractors/suppliers) would be most vulnerable? List the supplier/subtier supplier names and location below.</p> <p><i>Note: If you do not know or if no suppliers/subtier suppliers would be affected, indicate in the box to the right, and proceed to Question B.</i></p>																															
A.	<table border="1"> <thead> <tr> <th></th> <th>Supplier/Subtier Supplier Name</th> <th>City</th> <th>State</th> <th>Country</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td><td></td><td></td><td></td></tr> <tr><td>2.</td><td></td><td></td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>		Supplier/Subtier Supplier Name	City	State	Country	1.					2.					3.					4.					5.				
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2.																															
3.																															
4.																															
5.																															
<p>If your defense orders were to substantially <b>increase</b>, which of your direct suppliers and/or subtier suppliers (companies that supply your subcontractors/suppliers) would have the greatest difficulty ramping-up production to meet your needs? List the supplier/subtier supplier names and location below.</p> <p><i>Note: If you do not know or if no suppliers/subtier suppliers would be affected, indicate in the box to the right, and proceed to Question B.</i></p>																															
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<b>Section 8 PARTS &amp; COMPONENTS</b>						
A.	Are you required to utilize parts and components that are deemed obsolete for products you sell into the defense supply chain? If "Yes", indicate the key obsolete parts/components below, the supplier's name and location. Finally, estimate the percentage cost premium ( <i>see definitions</i> ) for each item and whether you have difficulty obtaining the part/component.					
	<b>Obsolete Part/Component</b>	<b>Supplier Company</b>	<b>State</b>	<b>Country</b>	<b>Cost Premium (%)</b>	<b>Difficulty Obtaining Part?</b>
	1.					
	2.					
	3.					
	4.					
	5.					
Comments:						
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<b>Section 9 VERTICAL INTEGRATION</b>																																												
This effort seeks to better understand the role of vertical integration ( <i>see definitions</i> ) in the defense supply chain.																																												
A.	Do formal partnerships, joint ventures, or vertical integrations with your immediate customers and/or suppliers provide an important competitive advantage for your facility/plant? Select the appropriate response from the drop-down. If "for other reasons", explain below.																																											
B.	In your facility/plant's business, are you concerned about potential biases in your customer/supplier relationships because your customers/suppliers are also competitors in your market niche? If "Yes", identify the corresponding product/service with which you are concerned and the DoD program/system supported, if applicable. Then, identify the name and location of the customer/supplier who also serves as your competitor.																																											
	<table border="1"> <thead> <tr> <th></th> <th>Product/Service</th> <th>Defense Program/ System Name (<i>short name</i>)</th> <th>Name of Customer/Supplier Who Is Competitor</th> <th>City</th> <th>State</th> <th>Country</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2.</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3.</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>4.</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>5.</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Product/Service	Defense Program/ System Name ( <i>short name</i> )	Name of Customer/Supplier Who Is Competitor	City	State	Country	1.							2.							3.							4.							5.							
	Product/Service	Defense Program/ System Name ( <i>short name</i> )	Name of Customer/Supplier Who Is Competitor	City	State	Country																																						
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[Previous Page](#)[Table of Contents](#)[Next Page](#)**Section 10.a****FINANCIAL HEALTH**

Report select line items from your financial statement for years 2008-2011. From the drop-down, first indicate whether the reported income statement and balance sheet select line items are Facility/Plant, Business Unit/Division, or Corporate/Whole Company financials. For 2011, estimate the full year data.

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*Note: Facility/Plant level financials are preferred.*

*Note: Calendar year data is preferred.*

Source of Financial Statement Line Items:					
Reporting Schedule:					
Income Statement (Select Line Items)		Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12			
		2008	2009	2010	2011*
A.	Net Sales (and other revenue)				
B.	Cost of Goods Sold				
C.	Research & Development Expense				
D.	Total Operating Expenses				
E.	Total Operating Income (Loss)				
F.	Total Other Income (Expenses)				
G.	Earnings Before Interest and Taxes				
H.	Interest Expense				
I.	Income Tax Expense				
J.	Net Income				
Balance Sheet (Select Line Items)		Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12			
		2008	2009	2010	2011*
A.	Cash				
B.	Marketable Securities				
C.	Accounts Receivable				
D.	Inventories				
E.	Total Current Assets				
F.	Property, Plant, and Equipment				
G.	Total Non-Current Assets				
H.	Total Assets				
I.	Accounts Payable				
J.	Total Current Liabilities				
K.	Long-Term Debt (less current portion)				
L.	Total Non-Current Liabilities				
M.	Total Liabilities				
N.	Retained Earnings				
O.	Total Owner's Equity				
* If data is not available, provide estimates.					
Comments:					
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<b>Section 10.b FINANCIAL HEALTH (cont.)</b>																																						
Use the space below to qualify with narrative any anomalies, transactions, litigation, or non-recurring one-time events reflected in your financial statement line items, e.g. reporting restatement, merger and acquisition, chapter 11, SEC investigation, etc.																																						
A.	2008																																					
B.	2009																																					
C.	2010																																					
D.	2011																																					
<b>TRANSACTIONS</b>																																						
Did your company undergo any mergers, acquisitions, and/or joint ventures from calendar years 2008-2011? If "Yes", identify your most significant mergers, acquisitions, and/or joint ventures over the period. Then, record the subject entity's name, transaction type, entity's location, calendar year, and the primary objective of the deal.																																						
<i>Note: Primary objectives can include capabilities acquired or divested in the Joint Venture, when applicable.</i>																																						
E.	<table border="1"> <thead> <tr> <th></th> <th>Entity Name</th> <th>Transaction Type</th> <th>Country</th> <th>Year</th> <th>Primary Objective</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2.</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>		Entity Name	Transaction Type	Country	Year	Primary Objective	1.						2.						3.						4.						5.						
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<b>Section 11</b>		<b>INVESTMENT CAPITAL AND CAPITAL EXPENDITURES</b>				
Select the top three capital types/sources your facility/plant uses to support its operations. Then, using the drop downs, rate the ease of access for each type/source for the years 2008-2011.						
A.	Source of Capital Expenditure Data:					
	Capital Expenditure Reporting Schedule:					
	<b>Capital Type or Source</b>		<b>Ease of Access</b>			
			2008	2009	2010	2011
	1.					
	2.					
3.						
Record your capital expenditures corresponding to the select categories.						
<b>DO NOT COPY &amp; PASTE YOUR INPUTS</b>						
<i>Note: Calendar year and Facility/Plant level data is preferred.</i>						
<i>Note: Lines b. through f. should equal 100%.</i>						
B.	Source of Capital Expenditure Data:					
	Capital Expenditure Reporting Schedule:					
	<b>Capital Expenditure Category</b>		2008	2009	2010	2011
	a.	Total Capital Expenditures <i>[Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12]</i>				
	b.	Machinery, Equipment, and Vehicles <i>[as a percent of a.]</i>				
	c.	IT, Computers, Software <i>[as a percent of a.]</i>				
	d.	Land, Buildings, and Leasehold Improvements <i>[as a percent of a.]</i>				
	e.	Other (specify) <i>[as a percent of a.]</i>				
	f.	Other (specify) <i>[as a percent of a.]</i>				
	g.	% of Total Capital Expenditures relating to defense business lines <i>[as a percent of a.]</i>				
Comments:						
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<b>Section 12.a RESEARCH &amp; DEVELOPMENT</b>																																											
A.	Do you perform any research and development (R&D) activities at this facility/plant?																																										
B.	Estimate the percentage of R&D performed for your product(s) that is conducted in-house rather than outsourced. Explain below.																																										
	In-House Percentage																																										
C.	Do your typical contracts rely on significant design by your facility, or is your work better characterized as build-to-print?																																										
D.	How often are you asked to make significant design changes once a product is already in development?																																										
E.	Do you have a designated design team in-house? If "Yes", how many people are normally involved in your product design process? Explain.																																										
	Design Team? Number in Design Team																																										
<p>Record your total research and development (R&amp;D) dollar expenditures and the percentage of total R&amp;D expenditures relating to DoD, non-defense government, and commercial business lines.</p> <p style="text-align: center;"><b>DO NOT COPY &amp; PASTE YOUR INPUTS</b></p> <p><i>Note: Calendar year and Facility/Plant level data is preferred.</i></p> <p><i>Note: Lines b. through d. should equal 100%.</i></p> <table border="1"> <thead> <tr> <th colspan="2">Source of R&amp;D Reporting:</th> <th colspan="4"></th> </tr> <tr> <th colspan="2">R&amp;D Reporting Schedule:</th> <th colspan="4"></th> </tr> <tr> <th colspan="2">R&amp;D Expenditures</th> <th>2008</th> <th>2009</th> <th>2010</th> <th>2011</th> </tr> </thead> <tbody> <tr> <td>a.</td> <td><b>Total R&amp;D Expenditures</b> <i>[Record \$ in Thousands, e.g. \$12,000.00 = survey input of \$12]</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>b.</td> <td>R&amp;D Expenditures relating to DoD business lines <i>[as a percent of a.]</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>c.</td> <td>R&amp;D Expenditures relating to non-defense government business lines <i>[as a percent of a.]</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>d.</td> <td>R&amp;D Expenditures relating to commercial &amp; all other business lines <i>[as a percent of a.]</i></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Source of R&D Reporting:						R&D Reporting Schedule:						R&D Expenditures		2008	2009	2010	2011	a.	<b>Total R&amp;D Expenditures</b> <i>[Record \$ in Thousands, e.g. \$12,000.00 = survey input of \$12]</i>					b.	R&D Expenditures relating to DoD business lines <i>[as a percent of a.]</i>					c.	R&D Expenditures relating to non-defense government business lines <i>[as a percent of a.]</i>					d.	R&D Expenditures relating to commercial & all other business lines <i>[as a percent of a.]</i>				
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<b>Section 12.b</b>		<b>RESEARCH &amp; DEVELOPMENT (cont.)</b>			
Record your facility/plant's total R&D funding dollar amounts. Then, record the total dollar amounts for private R&D funding, R&D funding reimbursed indirectly, and R&D funding paid directly by government. Finally, provide the corresponding percentage breakouts for each category. For 2011, estimate full year data.					
<b>DO NOT COPY &amp; PASTE YOUR INPUTS</b>					
Note: If your company's annual Total R&D Expenditures and Total R&D Funding Sources do not match, explain the discrepancy in the comments section.					
Note: Calendar year and Facility/Plant level data is preferred.					
Source of R&D Reporting:					
R&D Reporting Schedule:					
<b>R&amp;D Funding Sources</b>		<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011*</b>
a.	<b>Total R&amp;D Funding</b> <i>[Record \$ in Thousands, e.g. \$12,000.00 = survey input of \$12]</i>				
<b>Private:</b>					
b.	<b>Total Private R&amp;D Funding</b> <i>[Record \$ in Thousands]</i>				
c.	Internal/Self-Funded <i>[as a percent of b.]</i>				
d.	Domestic Lender <i>[as a percent of b.]</i>				
e.	Foreign Lender <i>[as a percent of b.]</i>				
f.	Contracts with other Companies <i>[as a percent of b.]</i>				
g.	Domestic Capital Investors, e.g. Venture Capital <i>[as a percent of b.]</i>				
A. h.	Foreign Capital Investors <i>[as a percent of b.]</i>				
<b>Reimbursed Indirectly:</b>					
i.	<b>Total R&amp;D Funding Reimbursed Indirectly</b> <i>[Record \$ in Thousands]</i>				
j.	DoD IR&D Reimbursement <i>[as a percent of i.]</i>				
k.	Other Government IR&D Reimbursement <i>[as a percent of i.]</i>				
<b>Directly, paid by Government:</b>					
l.	<b>Total R&amp;D Funding Directly Paid by Government</b> <i>[Record \$ in Thousands]</i>				
m.	Defense R&D Contracts <i>[as a percent of l.]</i>				
n.	Other Government R&D Contracts <i>[as a percent of l.]</i>				
* If data is not available, provide estimates.					
B.	Is there a minimum level of R&D funding you must maintain to remain competitive in the future? Explain below.				
Comments:					
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>					

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<b>Section 13.a</b>		<b>WORKFORCE</b>				
Record the total number of full time equivalent (FTE) ( <i>see definitions</i> ) employees in your facility/plant operations by occupational type for the 2008-2011 period. Do not double count personnel who may perform cross-operational roles. Estimates are acceptable.						
<i>Note: Calendar year and Facility/Plant level data is preferred.</i>						
<i>Note: Lines b. through j. should equal a. (Total Full Time Equivalent Employees)</i>						
Source of Workforce Data:						
Reporting Schedule:						
A.	Professional Occupations		2008	2009	2010	2011*
	a.	Total Full Time Equivalent (FTE) Employees				
	b.	Administrative, Management, & Legal Staff				
	c.	Facility & Maintenance Staff				
	d.	IT/Network Engineers				
	e.	Marketing & Sales				
	f.	Research and Development (R&D) Staff				
	g.	Production Line Workers				
	h.	Testing Operators, Quality Control, & Support Technicians				
	i.	Other (specify) _____				
	j.	Other (specify) _____				
*If data is not available, provide estimates.						
B.	Estimate the percent of your current FTE employees who hold advanced degrees.				Master's Degree	Ph.D.
C.	Estimate the number of scientists and engineers who work in your facility/plant in any capacity.					
	Science & Technical Occupations		2008	2009	2010	2011
a.	Scientists					
b.	Engineers					
Comments:						
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>						



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A.	For your facility/plant, identify what professional occupations are the most difficult to hire and retain.  <i>If you have no difficulty hiring or retaining any occupations, indicate "no difficulty" in the "Other" field</i>			Difficult to Hire	Difficult to Retain
			1.		
			2.		
			3.		
			Other		
B.	Identify your facility/plant's critical skills/competencies that are essential to your viability and long-term competitiveness. Explain.  <i>Note: Facility/plant data is preferred.</i>				
		Skills/Competencies	Explain		
	1.				
	2.				
	3.				
	4.				
	5.				
C.	If your defense-related work were to decline or cease, could non-defense government or commercial work help retain workforce skills needed for future defense work? Explain Below.				
D.	If applicable, within the services portion of your facility/plant operations, identify what skills/competencies distinguish you in the marketplace.				
Comments:					
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>					

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<b>Section 14</b>		
<b>CERTIFICATION</b>		
The undersigned certifies that the information herein supplied in response to this questionnaire is complete and correct to the best of his/her knowledge. It is a criminal offense to willfully make a false statement or representation to any department or agency of the United States Government as to any matter within its jurisdiction (18 U.S.C.A. 1001 (1984 & SUPP. 1197))		
Company Name		
Company's Internet Address		
Name of Authorizing Official		
Title of Authorizing Official		
E-mail Address		
Phone Number and Extension		
Date Certified		
In the box below, provide any additional comments or any other information you wish to include regarding this survey assessment.		
How many hours did it take to complete this survey?		
<b>BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act</b>		

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